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**Walker Digital  
Corporation**

# Fax

**To:** Office of Initial Patent Examination's Filing From: VERONIKA S. LELIEVER

**Receipt Corrections - USPTO**

**Fax:** 703.746.9195

**Pages:** 11

**Phone:**

**Date:** May 29, 2002

**Re:** App. Serial No. 09/511,968

**Phone:** 203-461-7035

☒ **Urgent**   ☒ **For Review**   ☐ **Please Comment**   ☐ **Please Reply**   ☐ **Please Recycle**

• **Comments:**

## FORMAL RESPONSE

**Re:** Application Serial No. 09/511,968, Attorney Docket No. 96-082-C1  
**Titled:** "SYSTEM AND METHOD FOR ALLOWING VIEWERS TO PURCHASE  
PROGRAM PRODUCTS"

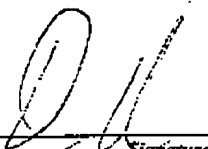

### CERTIFICATE OF TRANSMISSION

I hereby certify that this correspondence is being  
Facsimile Transmitted to the United States Patent  
and Trademark Office (Fax No. 703.746.9195  
May 29, 2002.

Dated: 5.29.02 By

*Veronika S. Leliever*  
Veronika S. Leliever


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<b>TRANSMITTAL LETTER</b> (General - Patent Pending)			Docket No. 96-082-C1
In Re Application Of: JAY S. WALKER et al.			
Serial No. 09/511,968	Filing Date February 23, 2000	Examiner Not Yet Assigned	Group Art Unit 2611
Title: METHOD AND SYSTEM FOR ALLOWING VIEWERS TO PURCHASE PROGRAM PRODUCTS			
<u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u>			
Transmitted herewith is:  Assertion of Small Entity Status, 1 pg.; Red-lined copy of Filing Receipt, 2 pp.; Request for Corrected Filing Receipt, 2 pp.; and Copy of Utility Patent Application Transmittal, 3 pp.			
in the above identified application.			
<input checked="" type="checkbox"/> No additional fee is required. <input type="checkbox"/> A check in the amount of _____ is attached. <input checked="" type="checkbox"/> The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0271 as described below. A duplicate copy of this sheet is enclosed. <div style="margin-left: 40px;"><input type="checkbox"/> Charge the amount of _____ <input checked="" type="checkbox"/> Credit any overpayment. <input checked="" type="checkbox"/> Charge any additional fee required.</div>			
 _____ <i>Signature</i>		Dated: May 29, 2002	
Dean P. Alderucci Attorney for Applicants PTO Registration No. 40,484 203.461.7337/phone 203.461.7300/fax  Customer No. 22927  Alderucci@walkerdigital.com CC:		<div style="border: 1px solid black; padding: 5px;"><p>I certify that this document and fee is being <u>sent</u> <u>May 29, 2002</u> by <u>fax to 703-746-9695</u> under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.</p><div style="text-align: center;"> <i>Signature of Person Mailing Correspondence</i></div><div style="text-align: center;">Veronika S. Leliever <i>Typed or Printed Name of Person Mailing Correspondence</i></div></div>	

PATENT

Application No.: 09/511,968  
Attorney Docket No.: 96-082-C1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Walker et al. ) Group Art Unit: 2611  
Application No.: 09/511,968 ) Examiner: Not Yet Assigned  
Filed: February 23, 2000 ) Attorney Docket No.: 96-082-C1  
For: **SYSTEM AND METHOD** ) *\*(Please note new docket number)*  
**FOR ALLOWING VIEWERS TO** ) **Notification of Fee Status Change**  
**PURCHASE PROGRAM** ) **Pursuant to 37 CFR § 1.27**  
**PRODUCTS** )  
Customer No. 22927 ) 

Assistant Commissioner for Patents  
Washington, D.C. 20231

## ASSERTION OF SMALL ENTITY STATUS


Dear Sir:

The assignee of the above-identified application no longer claims large entity status. This notification is made pursuant to 37 CFR §1.27.

If the Examiner has any questions about this status change, the Examiner is invited to contact the undersigned at (203) 461-7337. While no fees are believed due in connection with this paper, please charge any fees that may be required for this paper, or with any other papers filed in connection with this application to Deposit Account No. 50-0271.

May 29, 2002  
Date

Respectfully submitted,

  
Dean P. Alderucci  
Attorney for Applicants  
Registration No. 50,252  
Walker Digital, LLC  
Five High Ridge Park  
Stamford, CT 06905-1326  
(203) 461-7337 /direct  
(203) 461-7300 /fax  
Alderucci@walkerdigital.com

96-082-C1 ST 5.29.02

**COPY****UNITED STATES PATENT AND TRADEMARK OFFICE**

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/511,968	04/24/2002	2611	690	WD2-96-082	12	40	8

02/23/2000

CONFIRMATION NO. 3686

~~Walker Digital Corporation~~  
~~One High Ridge Park~~  
Stamford, CT 06905-1326

WALKER DIGITAL, LLC  
FIVE HIGH RIDGE PARK

**FILING RECEIPT**

\*OC00000007899927\*

Date Mailed: 05/01/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Jay S. Walker, Ridgefield, CT;  
James A. Jorasch, Stamford, CT;  
Sanjay K. Jindal, Wilton, CT;  
Thomas M. Sparico, Riverside, CT;

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A CONTINUATION OF PRIOR APPLICATION  
No. 08/831,968 FILED 04/02/1997, WHICH ISSUED AS U.S. PATENT  
Foreign Applications No. 6,131,086

If Required, Foreign Filing License Granted 05/01/2002

Projected Publication Date: 10/30/2003

Non-Publication Request: No

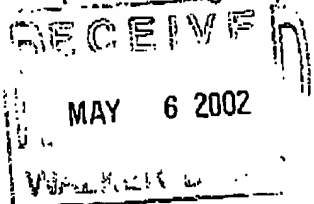
Early Publication Request: No

**Title**

Method and system for allowing viewers to purchase program products

**Preliminary Class**

725



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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PATENT

Patent Application No. 09/511,968  
Attorney Docket No. 96-082-C1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Jay S. Walker et al.	)	Customer No.:	22927
		)		
For:	METHOD AND SYSTEM FOR	)	Examiner:	Not yet Assigned
	ALLOWING VIEWERS TO	)		
	PURCHASE PROGRAM	)	Group Art Unit:	2611
	PRODUCTS	)		
		)	Docket No.:	96-082-C1
Serial No.:	09/511,968	)	*(Please note new docket number)	
		)		
Filing Date:	February 23, 2000	)		

Assistant Commissioner for Patents  
Washington, D.C. 20231

Atto: Office of Initial Patent Examination's Filing Receipt Corrections

**REQUEST FOR CORRECTED FILING RECEIPT**

Applicants respectfully request that the filing receipt for the above-identified patent application be corrected as follows:

1. The continuing data should be corrected to read the following:  
**"THIS APPLICATION IS A CONTINUATION OF PRIOR  
APPLICATION NO. 08/831,968 FILED 04/02/1997, WHICH ISSUED  
AS U.S. PATENT NO. 6,131,086.**
2. The address of record should be:  
**Walker Digital, LLC**  
**Five High Ridge Park**  
**Stamford, CT 06905-1326 U.S.A.**
3. Please note new docket number: **96-082-C1**

The requested corrections are indicated in red on an enclosed copy of the official Filing Receipt.

PATENT

Patent Application No. 09/511,968  
Attorney Docket No. 96-082-C1


In support of this request, applicants have enclosed a copy of the patent application transmittal letter filed with the original application on February 23, 2000, which clearly indicates the correct continuing data as requested above. Please issue a corrected Filing Receipt in due course.

Applicants believe no fee is due. However, please charge any fees that may be required for this Request, or credit any overpayment to Deposit Account No. 50-0271 if necessary. Order number 96-082-C1. The Assistant Commissioner is further authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment to Deposit Account No. 50-0271.

Furthermore, should an extension of time be required, please grant any extension of time which may be required to make this submission timely, and charge any fee for such an extension to Deposit Account No. 50-0271. A duplicate copy of this authorization is enclosed for such purposes.

May 29, 2002  
Date

Respectfully submitted,

  
Dean P. Alderucci  
Attorney for Applicants  
PTO Registration No. 40,484  
Walker Digital, LLC  
Five High Ridge Park  
Stamford, CT 06905  
(203) 461-7337/phone  
(203) 461-7300/fax

**COPY**

Express Mail Label No. EL420982082L

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
96-082XTotal Pages in this Submission  
46**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD AND SYSTEM FOR ALLOWING VIEWERS TO PURCHASE PROGRAM PRODUCTS**

and invented by:

**Jay S. WALKER, James A. JORASCH, Sanjay K. JINDAL and Thomas M. SPARICO**If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08/831,968

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☐ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 34 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications *(if applicable)*
  - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
  - d. ☐ Reference to Microfiche Appendix *(if applicable)*
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings *(if drawings filed)*
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure



**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
96-082XTotal Pages in this Submission  
46**Application Elements (Continued)**

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal Number of Sheets 12
- b. ☐ Informal Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy) ☐ Unexecuted
- b. ☒ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement/PTO-1449 ☒ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing

☐ First Class ☒ Express Mail (Specify Label No.): EL420982082US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
96-082XTotal Pages in this Submission  
46**Accompanying Application Parts (Continued)**15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*16. ☒ Additional Enclosures *(please identify below):*Revocation and Appointment of Power of Attorney, filed November 11, 1997; and  
updated Revocation and Appointment of Power of Attorney, filed August 19, 1999.**Fee Calculation and Transmittal****CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	12	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	3	- 3 =	0	x \$78.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$690.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$690.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0271 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$690.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.15 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Signature

Dated: February 23, 2000

Steven M. Santisi  
Attorney for Applicants  
PTO Reg. No. 40,157  
Walker Digital Corporation  
One High Ridge Park  
Stamford, CT 06905-1326

cc: